

***Business Proprietary***

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(No response is required if currently valid OMB control number is not displayed)

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DRAMS AND DRAM MODULES FROM KOREA  
(Investigation No. 701-TA-431 (Preliminary))

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***Return completed questionnaire to:***

UNITED STATES INTERNATIONAL TRADE COMMISSION  
Office of Investigations, Room 615  
500 E Street, SW, Washington, DC, U.S.A. 20436

**So as to be received by the Commission by no later than November 15, 2002**

**CERTIFICATION**

I certify that the information herein supplied in response to this questionnaire is complete and correct to the best of my knowledge and belief and understand that the information submitted is subject to audit and verification by the Commission.

By signing this certification I also grant consent for the Commission, and its employees and contract personnel, to use the information provided in this questionnaire and throughout this investigation in any other import-injury investigations conducted by the Commission on the same or similar merchandise. (If you do not consent to such use, please note the certification accordingly.)

I acknowledge that information submitted in this questionnaire response and throughout this investigation may be used by the Commission, its employees, and contract personnel who are acting in the capacity of Commission employees, for developing or maintaining the records of this investigation or related proceedings for which this information is submitted, or in internal audits and investigations relating to the programs and operations of the Commission pursuant to 5 U.S.C. Appendix 3. I understand that all contract personnel will sign non-disclosure agreements.

\_\_\_\_\_  
Name and Title of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Authorized Official

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Phone                      Fax

\_\_\_\_\_  
E-mail address

**FIRM NAME AND ADDRESS**

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The questions in this questionnaire have been reviewed with market participants to ensure that issues of concern are adequately addressed and that data requests are sufficient, meaningful, and as limited as possible. Public reporting burden for this questionnaire is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the questionnaire. Send comments regarding the accuracy of this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Office of Investigations, U.S. International Trade Commission, 500 E Street, SW, Washington, DC 20436. Please report below the actual number of hours required and the cost to your firm of preparing the reply to this questionnaire and completing the form.

\_\_\_\_\_ hours                      \_\_\_\_\_ dollars

**PART I.--OPERATIONS IN KOREA**

I-1. Please report the production capacity of DRAMs and DRAM modules produced by your firm in Korea on page 6; please also report the production, shipments, and inventories of uncased, DRAMs, cased DRAMs, and DRAM modules on pages 7, 8, and 9, respectively.

I-2. What percentage of your firm's total sales in its most recent fiscal year was represented by sales of DRAMs and DRAM modules?

\_\_\_\_\_ Percent

I-3-A. Does your firm produce products other than DRAMs and DRAM modules on the same equipment and machinery used in the production of DRAMs and DRAM modules?

☐ No    ☐ Yes--Please list these product(s) and provide the share of your firm's total net sales (in percent) accounted for by these product(s) in its most recent fiscal year.

<i><b>Product(s)</b></i>	<i><b>Share of sales</b></i>
_____	_____
_____	_____
_____	_____

I-3-B. Please provide the share (in percent) of your total wafer starts accounted for by DRAM wafers in each of the following periods:

1999 \_\_\_\_\_; 2000 \_\_\_\_\_; 2001 \_\_\_\_\_; Jan.-Sept. 2001 \_\_\_\_\_; Jan.-Sept. 2002 \_\_\_\_\_

I-3-C. Please provide the share (in percent) of your total assembly capability accounted for by cased DRAMs in each of the following periods:

1999 \_\_\_\_\_; 2000 \_\_\_\_\_; 2001 \_\_\_\_\_; Jan.-Sept. 2001 \_\_\_\_\_; Jan.-Sept. 2002 \_\_\_\_\_

**PART I.--OPERATIONS IN KOREA--*Continued***

- I-4. Does your firm have any plans to add, expand, curtail, or shut down production capacity and/or production of DRAMs or DRAM modules in Korea?

☐ No ☐ Yes--Please describe those plans, including planned dates and capacity/production quantities involved.

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- I-5. Are the DRAMs or DRAM modules exported by your firm subject to antidumping or subsidy findings or remedies in any WTO-member countries?

☐ No ☐ Yes--List the products(s), countries affected and the date of such findings/remedies.

<b><i>Product</i></b>	<b><i>Country</i></b>	<b><i>Date</i></b>
<hr/>	<hr/>	<hr/>
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**PART II.--OPERATIONS IN THE UNITED STATES**

- II-1. Please provide the names and addresses of the **TEN** largest U.S. importers of your firm's DRAMs and DRAM modules in 2001.

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- II-2. Does your firm or any related firm produce, have the capability to produce, or have any plans to produce DRAMs or DRAM modules in the United States?

☐ No ☐ Yes--Please name the firm(s) below and ensure that they complete the Commission's producer questionnaire (contact Mary Messer (202-205-3193) for copies of that questionnaire).

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- II-3. Does your firm or any related firm import or have any plans to import DRAMs or DRAM modules into the United States?

☐ No ☐ Yes--Please name the firm(s) below and ensure that they complete the Commission's importer questionnaire (contact Mary Messer (202-205-3193) for copies of that questionnaire).

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**PART II.--OPERATIONS IN THE UNITED STATES--Continued**

II-4. Has your firm maintained any inventories of DRAMs or DRAM modules in the United States (not including inventories held by firms identified in questions 1, 2, or 3 above<sup>1</sup>) since 1999?

☐ No ☐ Yes--Report the quantity (in billions of bits) of such **end-of-period** inventories below.

Item	1999	2000	2001	Sept. 2001	Sept. 2002
Uncased DRAMs					
Cased DRAMs					
DRAM modules					

II-5. Does your firm sell DRAMs or DRAM modules over the internet?

☐ No ☐ Yes--Please describe, noting the estimated percentage of your firm's total sales of DRAMs and DRAM modules in 2001 accounted for by internet sales.

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II-6. Describe the significance of the U.S. antidumping duty order covering imports of other-than-Samsung Korean DRAMs \$ 1-Meg and DRAM modules containing any DRAMs \$ 1-Meg that was in effect from May 10, 1993, until October 5, 2000, in terms of its effect on your firm's exports, shipments, and inventories while the order was in effect and any effects of resulting from its termination. Use additional pages as necessary.

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<sup>1</sup> Such firms will report inventories in the Commission's importer or producer questionnaire.

<sup>5</sup> The average capacity reported is based on operating \_\_\_\_\_ hours per week, \_\_\_\_\_ weeks per year. Briefly explain assumptions made and methods used in calculating the estimates reported above for average capacity to assemble DRAM modules. Also explain any changes in reported capacity. Use additional pages as necessary.

**PART II.--TRADE AND RELATED INFORMATION--Continued**

- II-2. **UNCASED DRAMS FABRICATED IN KOREA.**--Report your firm's production, shipments, and inventories related to the production of uncased DRAMs in your Korean establishment(s) during the specified periods. **Report separately for each density of DRAM your firm produces, photocopying this page as necessary. Identify the density reported on each page by checking the appropriate box.** (See definitions in the instruction booklet.)

☐ 16 Meg   ☐ 64 Meg   ☐ 128 Meg   ☐ 256 Meg   ☐ 512 Meg   ☐ Other (specify density \_\_\_\_\_)

Quantity (in 1,000 units)							
Item	Calendar years			January-September		Projections	
	1999	2000	2001	2001	2002	2002	2003
<b>Beginning-of-period inventories</b>							
<b>Production<sup>1</sup></b>							
<b>SHIPMENTS:</b> <b>Home-market shipments:</b> Company transfers/ internal consumption for making cased DRAMs							
Other company transfers/ internal consumption (identify the nature of the transfers/consumption: _____)							
Home-market commercial shipments							
<b>EXPORT SHIPMENTS TO--</b> <b>The United States:</b> To foreign affiliates							
To other firms							
<b>Other export markets:<sup>2</sup></b> To foreign affiliates							
To other firms							
<b>End-of-period inventories<sup>3</sup></b>							

<sup>1</sup> Reported production should include only usable units (i.e., net of any losses that occur during wafer fabrication and sorting).

<sup>2</sup> Identify your principal export markets: \_\_\_\_\_

<sup>3</sup> **Reconciliation of data.**--Please note that the **quantities** reported above should reconcile as follows: beginning-of-period inventories, plus production, less total shipments, equals end-of-period inventories. Do the data reported reconcile?

☐ Yes   ☐ No--Please explain: \_\_\_\_\_

**PART II.--TRADE AND RELATED INFORMATION--Continued**

- II-3. **CASED DRAMS ASSEMBLED IN KOREA.**--Report your firm's assembly, shipments, and inventories related to the assembly of cased DRAMs in your U.S. establishment(s) during the specified periods. (See definitions in the instruction booklet.) **Report separately for each density of DRAM your firm assembles, by the location of the fabrication of the dice, photocopying this page as necessary. Identify: (1) the density, and (2) the dice fabrication location reported on each page by checking one box per category below.**

1) Density: ☐ 16 Meg ☐ 64 Meg ☐ 128 Meg ☐ 256 Meg ☐ 512 Meg ☐ Other (specify density: \_\_\_\_\_)

2) Dice fabrication location: ☐ United States ☐ Korea ☐ Other locations (specify: \_\_\_\_\_)

Quantity (in 1,000 units)							
Item	Calendar years			January-September		Projections	
	1999	2000	2001	2001	2002	2002	2003
<b>Beginning-of-period inventories</b>							
<b>Production (assembly):<sup>1</sup></b>							
<b>SHIPMENTS:</b> <b>Home-market shipments:</b> Company transfers/ internal consumption for making DRAM modules							
Other company transfers/ internal consumption (identify the nature of the transfers/consumption: _____)							
Home-market commercial shipments							
<b>EXPORT SHIPMENTS TO--</b> <b>The United States:</b> To foreign affiliates							
To other firms							
<b>Other export markets:<sup>2</sup></b> To foreign affiliates							
To other firms							
<b>End-of-period inventories<sup>3</sup></b>							
<sup>1</sup> Reported production should include only usable units (i.e., net of any losses that occur during assembly and testing). In addition, reported production should include assembly of all dice, whether internally transferred or imported or otherwise purchased. <sup>2</sup> Identify your principal export markets: _____ <sup>3</sup> <b>Reconciliation of data.</b> --Please note that the <b>quantities</b> reported above should reconcile as follows: beginning--of-period inventories, plus production, less total shipments, equals end-of-period inventories. Do the data reported reconcile? <input type="checkbox"/> Yes <input type="checkbox"/> No--Please explain: _____							

Quantity ( <i>in billion bits</i> )							
Item	Calendar years			January-September		Projections	
	1999	2000	2001	2001	2002	2002	2003
Beginning-of-period inventories							
Production (assembly): <sup>1</sup>							
SHIPMENTS: Home-market shipments: Company transfers/ internal consumption (identify the nature of the transfers/consumption: _____)							
Home-market commercial shipments							
EXPORT SHIPMENTS TO-- The United States: To foreign affiliates							
To other firms							
Other export markets: <sup>2</sup> To foreign affiliates							
To other firms							
End-of-period inventories <sup>3</sup>							

<sup>1</sup> Reported only usable modules(i.e., net of any losses that occur during assembly and testing).

<sup>2</sup> Identify your principal export markets: \_\_\_\_\_

<sup>5</sup> Reconciliation of data.--Please note that the **quantities** reported above should reconcile as follows: beginning-of-period inventories, plus production, less total shipments, equals end-of-period inventories. Do the data reported reconcile?

☐ Yes    ☐ No--Please explain: \_\_\_\_\_

**PART II.--TRADE AND RELATED INFORMATION--Continued**

II-5. Do you always know the country of fabrication for your purchases and internal transfers of uncased DRAMs?

☐ No ☐ Yes

II-6. Do you always know the country of fabrication and the country of assembly for your purchases and internal transfers of cased DRAMs?

Uncased DRAM fabrication: ☐ No ☐ Yes

Cased DRAM assembly: ☐ No ☐ Yes

II-7. Do you always know the country of fabrication and the country of assembly for your purchases and internal transfers of DRAM modules?

Uncased DRAM fabrication: ☐ No ☐ Yes

Cased DRAM assembly: ☐ No ☐ Yes

DRAM module assembly: ☐ No ☐ Yes

II-8. Please identify each country in which your firm or a related firm performs the following DRAM operations:

Operation	Countries
Uncased DRAM fabrication	
Cased DRAM assembly	
DRAM module assembly	